



14230 US PTO

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	
Attorney Docket No. <u>004085.P043</u> (maximum 12 characters)	
First Named Inventor <u>Bruce M. Harper</u>	
Title: <u>ISOTHERMAL IMPRINT EMBOSsing SYSTEM</u>	
Express Mail Label No. <u>EV 409 362 643 US</u>	

012204 US PTO
10/761486012204 US PTO
012004

ADDRESS TO:	Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450
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APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. **Specification (Total Pages 39 - including title page)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. **Drawings(s) (35 USC 113) (Total Sheets 25)**
5. **Oath or Declaration (Total Pages 4)**
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 18 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting
inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)
and 1.33(b).
 - c. Unsigned.
6. **Application Data Sheet. (37 CFR 1.76)**
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & d cum nts(s))**
 10. _____ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
 _____ b. Power of Attorney
 11. _____ English Translation Document (if applicable)
 12. a. Information Disclosure Statement (IDS)/PTO-1449 (or PTO/SB/08)
 b. Copies of IDS Citations
 13. _____ **Preliminary Amendment**
 14. **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
 15. _____ Certified Copy of Priority Document(s) (if foreign priority is claimed)
 16. **Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
 17A. _____ Claim for Foreign Priority
 17B. Other: Certificate of Express Mail with copy of itemized postcard.

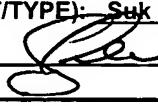
17C. Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title (e.g., by way of preliminary amendment), or in an Application Data Sheet Under 37 C.F.R. 1.76:

Continuation Divisional Continuation-in-part (CIP)
 Of Prior Application No.: _____ Examiner _____ Group Art Unit _____
 (which is a continuation/ divisional/ CIP of prior application no. _____,
 which is a continuation/ divisional/ CIP of prior application no. _____) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.
 For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. Correspondence Address
 Customer Number or Bar Code Label 008791
 or (Insert Customer No. or Attach Bar Code Label)
 here)
 Correspondence Address Below
 NAME Daniel E. Ovanezian
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
 ADDRESS 12400 Wilshire Boulevard
Seventh Floor
 CITY Los Angeles STATE California ZIP CODE 90025
 Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-8383

Name (PRINT/TYPE): Suk S. Lee Registration No.: 47,745
 Signature:  Date: January 20, 2004

NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)

First Named Inventor Bruce M. Harper
Title ISOTHERMAL IMPRINT EMBOSsing SYSTEM

Attorney Docket No. 004085.P043
Express Mail No.: EV 409 362 643 US

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

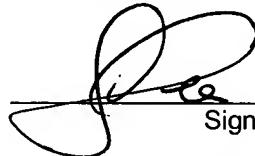
I hereby request that the attached application not be published under 35 U.S.C. 122(b).

January 20, 2004

Date

(408) 720-8300

Telephone Number



Signature

Suk S. Lee

Typed or Printed Name

47,745

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

FEE TRANSMITTAL FOR FY 2004

(FY 2004 Begins 10/01/2003)

TOTAL AMOUNT OF PAYMENT (\$) 990.00

Complete if Known:

Application No. Not yet assigned
 Filing Date Herewith (10/20/2004)
 First Named Inventor Bruce M. Harper
 Examiner Name Not yet assigned
 Art Unit Not yet assigned
 Attorney Docket No. 004805.P043

Applicant claims small entity status. See 37 CFR 1.27.

METHOD OF PAYMENT (check all that apply)

Check Credit Card Money Order Other None

Deposit Account

Deposit Account Number : 02-2666

Deposit Account Name: _____

The Director is Authorized to do the following with respect to the above-identified Deposit Account:

Charge fee(s) indicated below.

Credit any overpayments.

Charge any additional fees during the pendency of this application.

Any concurrent or future reply that requires a petition for extension of time should be treated as incorporating an appropriate petition for extension of time and all required fees should be charged.

Charge fee(s) indicated below except for the filing fee.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)	Utility application filing fee	<u>770.00</u>
1001	770	2001	385	Design application filing fee	_____
1002	340	2002	170	Plant filing fee	_____
1003	530	2003	265	Reissue filing fee	_____
1004	770	2004	385	Provisional application filing fee	_____
1005	160	2005	80		

SUBTOTAL (1) \$ 770.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>30</u>	<u>- 20** = 10</u>	X <u>18.00</u>	<u>= 180.00</u>
Independent Claims	<u>3</u>	<u>- 3** = 0</u>	X <u>86.00</u>	<u>= .00</u>
Multiple Dependent				

**Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		<u>Fee Description</u>
Fee	Fee	Fee	Fee	
Code	(\$)	Code	(\$)	Claims in excess of 20
1202	18	2202	9	Independent claims in excess of 3
1201	86	2201	43	Multiple dependent claim, if not paid
1203	290	2203	145	**Reissue independent claims over original patent
1204	86	2204	43	**Reissue claims in excess of 20 and over original patent
1205	18	2205	9	

SUBTOTAL (2) \$ 180.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Larg Entity</u>	<u>Small Entity</u>		
Fee	Fee	F	
Code	Code	(\$)	<u>Fee Description</u>
1051	2051	130	Surcharge - late filing fee or oath
1052	2052	50	Surcharge - late provisional filing fee or cover sheet
1053	1053	130	Non-English specification
1812	1812	2,520	For filing a request for ex parte reexamination
1813	1813	8,800	Request for inter parties reexamination
1804	1804	920*	Requesting publication of SIR prior to Examiner action
1805	1805	1,840*	Requesting publication of SIR after Examiner action
1251	2251	110	Extension for reply within first month
1252	2252	420	Extension for reply within second month
1253	2253	950	Extension for reply within third month
1254	2254	1,480	Extension for reply within fourth month
1255	2255	2,010	Extension for reply within fifth month
1401	2401	330	Notice of Appeal
1402	2402	330	Filing a brief in support of an appeal
1403	2403	290	Request for oral hearing
1451	1451	1,510	Petition to institute a public use proceeding
1452	2452	110	Petition to revive – unavoidable
1453	2453	1,330	Petition to revive - unintentional
1501	2501	1,330	Utility issue fee (or reissue)
1502	2502	480	Design issue fee
1503	2503	640	Plant issue fee
1460	1460	130	Petitions to the Commissioner
1807	1807	50	Processing fee under 37 CFR 1.17(q)
1806	1806	180	Submission of Information Disclosure Stmt
8021	8021	40	Recording each patent assignment per property (times number of properties)
1809	2809	770	For filing a submission after final rejection (see 37 CFR 1.129(a))
1814	2814	110	Statutory Disclaimer
1810	2810	770	For each additional invention to be examined (see 37 CFR 1.129(b))
1801	2801	770	Request for Continued Examination (RCE)
1802	1802	900	Request for expedited examination of a design application
1504	1504	300	Publication fee for early, voluntary, or normal pub.
1505	1505	300	Publication fee for republication
1803	1803	130	Request for voluntary publication or republication
1808	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)
1454	1454	1,330	Acceptance of unintentionally delayed claim for priority

Other fee (specify)

Other fee (specify)

SUBTOTAL (3) \$ 40.00

***Reduced by Basic Filing Fee Paid**

SUBMITTED BY:

Typed or Printed Name: Suk S. Lee
Signature:  Date: January 20, 2004
Reg. Number: 47,745 Telephone Number: (408) 720-8300

Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Serial/Patent No.: Not yet assigned Filing/Issue Date: Herewith (1/20/2004)
Client: Komag, Inc.

Title: Isothermal Imprint Embossing System

BSTZ File No.: 004085.P043 Atty/Secty Initials: DEO/SSL/den
Date Mailed: January 20, 2004 Docket Due Date: ***

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Amendment/Response (____ pgs.) Express Mail No. EV409362643US Check No. 62399
 Appeal Brief (____ pgs.) (in triplicate) _____ Month(s) Extension of Time Amt: \$ 950.00
 Application - Utility (39 pgs., with cover and abstract) Information Disclosure Statement & PTO-1449 (5 pgs.) Check No. 62353
 Application - Rule 1.53(b) Continuation (____ pgs.) Issue Fee Transmittal Amt: \$40.00
 Application - Rule 1.53(b) Divisional (____ pgs.) Notice of Appeal
 Application - Rule 1.53(b) CIP (____ pgs.) Petition for Extension of Time
 Application - Rule 1.53(d) CPA Transmittal (____ pgs.) Petition for _____
 Application - Design (____ pgs.) Postcard
 Application - PCT (____ pgs.) Power of Attorney (____ pgs.)
 Application - Provisional (____ pgs.) Preliminary Amendment (____ pgs.)
 Assignment and Cover Sheet - Signed Reply Brief (____ pgs.)
 Certificate of Mailing - Express w/PC Response to Notice of Missing Parts
 Declaration & POA (4 pgs.) Signed Small Entity Declaration for Indep. Inventor/Small Business
 Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.) Transmittal Letter, ~~Express~~ Utility
 Drawings: 25 # of sheets includes 26 figures Fee Transmittal, in duplicate

Other: Request for Nonpublication Under 35 USC 122(b)(2)(B)(i);
Copies of two cited references.

Komag Docket: K2003015

Certificate of Express Mailing

"Express Mail" mailing label number: EV 409 362 643 US

Date of Deposit: January 20, 2004

I hereby certify that I am causing this paper or fee, and the documents indicated on the postcard above, to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to: MS: Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450

Dianne Neathery

(Typed or printed name of person mailing paper or fee)

Dianne Neathery

(Signature of person mailing paper or fee)

1-20-2004

(Date signed)